

IN THE U.S. PATENT AND TRADEMARK OFFICE

Applicant(s): Björn STOLTZ, et al.
Int'l App. No.: PCT/SE03/00388
Application No.: **NEW APPLICATION**
Filed: September 3, 2004
For: METHOD FOR MANUFACTURING A PHOTONIC DEVICE AND
A PHOTONIC DEVICE

**INFORMATION DISCLOSURE STATEMENT
(SUBMISSION CONCURRENT WITH THE
FILING OF A NEW PATENT APPLICATION)**

MAIL STOP PCT APPLICATION
COMMISSIONER FOR PATENTS
P.O. BOX 1450
Alexandria, Virginia 22313-1450

September 3, 2004

Sir:

Pursuant to 37 C.F.R. §§ 1.97 and 1.98, applicant(s) hereby submit(s) an Information Disclosure Statement for consideration by the Examiner.

I. LIST OF PATENTS, PUBLICATIONS OR OTHER INFORMATION

The patents, publications, or other information submitted for consideration by the Office are listed on PTO-1449, attached hereto.

II. COPIES

☐ Submitted herewith is a legible copy of (i) each U.S. and foreign patent; (ii) each publication or that portion which caused it to be listed; and (iii) all other information or that portion which caused it to be listed.

☒ This application is a National Phase of a PCT application. Some or all of the documents listed on the PTO-1449 are not enclosed because they were cited in the International Search Report and copies should be forwarded from the International Search Authority. If copies are needed, please contact the undersigned.

☐ Because the present application is being filed after June 30, 2003, no copies of the

U.S. patents or U.S. patent application publications which are listed on the attached Form 1449 are enclosed pursuant to the waiver of 37 C.F.R. § 1.98(a)(2)(i). Any foreign patent documents or non-patent literature listed on the attached Form 1449 are enclosed herewith.

III. CONCISE EXPLANATION OF THE RELEVANCE
(check at least one box)

a. ☒ **DOCUMENTS IN THE ENGLISH LANGUAGE**

Some of the attached patents, publications, or other information in the English language do not require a statement of relevancy.

b. ☐ **DOCUMENTS NOT IN THE ENGLISH LANGUAGE**

A concise explanation of the relevance of all patents, publications, or other information listed that is not in the English language is as follows:

Many of the documents have been discussed in the PCT Search Report, the PCT Preliminary Examination Report, and/or throughout the specification. The PCT Search Report and/or PCT Preliminary Examination Report, indicate the degree of relevance found by the PCT Office, thereby satisfying the requirement for a concise explanation. See MPEP 609(A)(3).

c. ☒ **ENGLISH LANGUAGE SEARCH REPORT**

An English language version of the search report or action that indicates the degree of relevance found by the foreign office is attached, thereby satisfying the requirement for a concise explanation. See MPEP 609(A)(3).

d. ☐ **OTHER**

The following additional information is provided for the Examiner's consideration.

e. ☐ **EQUIVALENCY DOCUMENTS**

New PCT Application
Docket No. 91000-000013/US

FEES

This Information Disclosure Statement is being filed concurrently with the filing of a new patent application; therefore, no fee is required.

If The Examiner has any questions concerning this IDS, he/she is requested to contact the undersigned. If it is determined that this IDS has been filed under the wrong rule, the PTO is requested to consider this IDS under the proper rule and charge the appropriate fee to Deposit Account No. 08-0750.

If necessary, the Commissioner is hereby authorized in this, concurrent, and future replies, to charge payment or credit any overpayment to Deposit Account No. 08-0750 for any additional fees required under 37 C.F.R. § 1.16 or under § 1.17; particularly, extension of time fees.

Respectfully submitted,

HARNESS, DICKEY & PIERCE, P.L.C

By: 

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Enclosures: ☒ Form PTO-1449
☒ Documents
☒ Foreign Search Report

FORM HDP-1449 (Based on Form PTO-1449)

**PATENT AND TRADEMARK OFFICE
INFORMATION DISCLOSURE CITATION**
(Use several sheets if necessary)

Sheet 1 of 1

ATTORNEY DOCKET NO.

91000-000015/US

SERIAL NO.

NEW APPLICATION

APPLICANT

Björn STOLTZ, et al.

FILING DATE

September 3, 2004

GROUP

Unknown

U.S. PATENT DOCUMENTS

Ref. Desig.	Examiner's Initials	Document Number	Date	Name	Class/ Subclass	(If appropriate) Filing Date

FOREIGN PATENT DOCUMENTS

Ref. Desig.	Examiner's Initials	Document Number	Date	Country	Class/ Subclass	Translation Yes	No
		WO 99/39413	08/05/1999	WIPO		Yes	
		WO 01/13479 A1	02/22/2001	WIPO		Yes	

OTHER DOCUMENTS (including Author, Title, Date, Pertinent Pages, etc.)

Ref. Desig.	Examiner's Initials	
		Koji NAKAMURA et al., "BURIED HETEROSTRUCTURE DFB LASER INTEGRATED WITH RIDGE WAVEGUIDE ELECTROABSORPTION MODULATOR WITH OVER 20 GHz BANDWIDTH", IEEE, 1997, Pgs. 175-178.
		Hiroyuki KAMIOKA et al., "Reliability of an electro-absorption modulator integrated with a distribute feedback laser", IEEE, 1999, Pgs. 1202-1203.
		Masahiro AOKI et al., "InP-Based Reversed-Mesa Ridge-Waveguide Structure for High-Performance Long-Wavelength Laser Diodes", IEEE, 1997, Vol. 3, No. 2, Pgs. 672-683
		Hiroaki TAKEUCHI et al., "NRZ Operation at 40 Gb/s of a compact Module Containing an MQW Electroabsorption Modulator Integrated with a DFB Laser", IEEE, 1997, Vol. 9, No. 5, Pgs. 572-574

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Examiner:

Date Considered:

EXAMINER: Please initial if citation considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.